

03-07-01

**CONTINUED PROSECUTION APPLICATION (CPA)**  
**Request Transmittal Under Small Entity Status**  
(Only for Continuation or Divisional Applications Under 37 CFR § 1.53(d))

Attorney Docket No.  
NOVA-P015

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

This is a request for a ☒ continuation ☐ divisional application under 37 CFR § 1.53(d) (Continued Prosecution Application (CPA), of prior application No. 09/378,769, filed on 08/20/1999, and entitled Semiconductor Eutectic Alloy Metal (Seam) Technology for Fabrication of Compliant Composite Substrates and Integration of Materials.

Name of Applicant(s): ZHU, et al

- (X) The issue fee in the prior application has been paid.  
( ) The prior application is abandoned under 37 CFR § 1.53(d)(2) as of the filing date of this continued prosecution application.  
( ) Please use the file jacket and all the contents of the prior application, including the specification, drawings, and entered amendments, to constitute the new application.

**Foreign Priority - 35 USC § 119**

- (X) Foreign priority under 35 U.S.C. § 119 has been claimed in prior application No. (to be determined) filed on \_\_\_\_\_, in (country) \_\_\_\_\_.  
( ) The certified copy has been filed in prior application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_.  
( ) A separate paper claiming direct priority to a foreign application is enclosed herewith. A certified copy of the foreign application will be provided in due course.

**Other Amendments**

- ( ) Before calculating the filing fee, amend the prior application as follows:  
( ) Cancel the following claims: \_\_\_\_\_.  
( ) Enter the enclosed preliminary amendment.  
( ) Enter the unentered amendment(s) previously filed on \_\_\_\_\_ under 37 CFR § 1.116 in the prior nonprovisional application. A copy of the amendment(s) is (are) enclosed.

**Inventorship Statement**

- ( ) Delete the following named inventors in the prior application as inventors in this application in accordance with 37 CFR § 1.53(d)(4) as a result of a change in the claimed subject matter: \_\_\_\_\_

**Assignment**

- (X) The prior application is assigned to Nova Crystals, Inc.

**Enclosures**

- (X) Specification; 17 Total Pages. (X) Drawing(s); 6 Total Sheets (Figs 1-9)

- ( ) Oath or Declaration:  
( ) A newly executed combined oath or declaration and power of attorney (37 CFR § 1.63(d)(4)).  
( ) A copy from a prior application for continuation/divisional (37 CFR § 1.63(d)(1)).  
( ) Incorporation by reference. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.  
( ) Power of Attorney was changed during prosecution of prior application to \_\_\_\_\_.  
( ) Correspondence address was changed during prosecution of prior application to that shown below.  
( ) Priority Documents (if foreign priority is claimed).  
(X) Associate Power of Attorney.  
(X) Verified statement(s) to establish status as a small entity:  
( ) A copy is enclosed. ( ) Small entity status is no longer claimed.  
(X) A statement was filed in the prior application, and small entity status is still proper and desired.  
(X) Return Receipt Postcard. ( ) Preliminary Amendment(s). ( ) Unentered Amendment(s).  
(X) check in the amount of \$ 355.00 for the Filing Fee.  
( ) Other: \_\_\_\_\_

**Filing Fee Calculation**

CLAIMS AS FILED				
FOR	NO. FILED	NO. EXTRA	RATE	FEE
Total Claims		0	\$9.00	\$ 0.00
Independent Claims		0	\$39.00	\$ .00
Multiple Dependent Claim Fee (if applicable)				\$ 0.00
Assignment Recording Fee (if applicable)				\$ 0.00
Basic Filing Fee				\$ 355.00
Total Filing Fee				\$ 355.00

X Check # 1490 for \$ 355.00 for the above specified Total Fee is enclosed. However, should Applicant inadvertently miscalculated the required fee, the Commissioner is hereby authorized to charge the necessary additional amount associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this sheet is enclosed for fee processing.

Respectfully submitted,

By: \_\_\_\_\_

PETER C. SU, ESQ.  
Attorney of Record  
Reg. No. 43,939

Date: March 5, 2001

Correspondence Address:

Fernandez & Associates, LLP  
PO Box D  
Menlo Park, CA 94026-6204  
Phone: 650-325-4999  
Fax: 650-325-1203



22877

PATENT TRADEMARK OFFICE

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January 5, 2001

Box ISSUE FEE  
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Washington, D.C. 20231

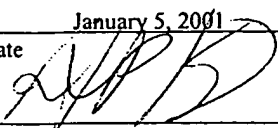
Re: U.S. Serial No. 378,769 - Filed: August 20, 1999  
Applicants: Zhu et al.  
For: *SEMICONDUCTOR EUTECTIC ALLOY METAL (SEAM) TECHNOLOGY  
FOR FABRICATION OF COMPLIANT COMPOSITE SUBSTRATES AND  
INTEGRATION OF MATERIALS.*  
Examiner: K. Stoner; Group Art Unit: 1725  
Batch No. T66  
Attorney Docket No.: NOK-018.01 (21269-1801)

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Issue Fee Transmittal (PTOL-85B);
2. Transmittal of Formal Drawings;
3. Check for \$650.00 (issue fee and advanced patent copies); and
4. Return Receipt Postcard.

Please charge any necessary fees to our Deposit Account No. 06-1448. The undersigned requests any extensions of time necessary to respond.

Certificate of Mailing	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX ISSUE FEE Washington, D.C. 20231 on:	
Date	January 5, 2001
	
Robert King	

Respectfully submitted,

FOLEY, HOAG & ELIOT LLP



Wolfgang Stutius  
Reg. No. 40,256  
at Customer Number 25181

## PART B—ISSUE FEE TRANSMITTAL

Complete and mail this form, together with applicable fees, to: **Box ISSUE FEE**  
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**MAILING INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE. Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Issue Fee Receipt, the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

IM62/1012

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Note: The certificate of mailing below can only be used for domestic mailings of the Issue Fee Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing.

## Certificate of Mailing

I hereby certify that this Issue Fee Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Box Issue Fee address above on the date indicated below.

Robert King

(Depositor's name)



(Signature)

January 5, 2001

(Date)

APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
09/378,769	08/20/99	016	STONER, K	1725 10/12/00
First Named Applicant: ZHU, 35 USC 154(b) term ext. = 0 Days.				

TITLE OF INVENTION: SEMICONDUCTOR EUTECTIC ALLOY METAL (SEAM) TECHNOLOGY FOR FABRICATION OF COMPLIANT COMPOSITE SUBSTRATES AND INTEGRATION OF MATERIALS

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEE DUE	DATE DUE
3	NOR 18	228-121-000	T66	UTILITY	YES \$620.00	01/12/01

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363). Use of PTO form(s) and Customer Number are recommended, but not required.

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47) attached.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. Foley, Hoag &amp; Eliot LLP

2. \_\_\_\_\_

3. \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)  
**PLEASE NOTE:** Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the PTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE  
 Nova Crystals, Inc.

(B) RESIDENCE: (CITY & STATE OR COUNTRY)

San Jose, CA

Please check the appropriate assignee category indicated below (will not be printed on the patent)

☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fees are enclosed (make check payable to Commissioner of Patents and Trademarks):

☒ Issue Fee

☒ Advance Order - # of Copies 10

4b. The following ~~fees~~ deficiency in these fees should be charged to:

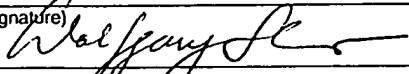
DEPOSIT ACCOUNT NUMBER 06-1448  
 (ENCLOSE AN EXTRA COPY OF THIS FORM)

☐ Issue Fee

☐ Advance Order - # of Copies \_\_\_\_\_

The COMMISSIONER OF PATENTS AND TRADEMARKS IS requested to apply the Issue Fee to the application identified above.

(Authorized Signature)



(Date)

1/5/01

NOTE: The Issue Fee will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the Patent and Trademark Office.

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending on the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND FEES AND THIS FORM TO: Box Issue Fee, Assistant Commissioner for Patents, Washington D.C. 20231

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Trademark Office

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<b>TOTALS ▶</b>					
	01/05/01			183423	650.00

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of :  
Zhu et al. : Art Unit: 1725  
Appln. No. 09/378,769 : Examiner: K. Stoner  
Filed: August 20, 1999 : Batch No: T66  
For: SEMICONDUCTOR : Atty Docket: NOK-018.01  
EUTECTIC ALLOY METAL (SEAM)  
TECHNOLOGY FOR FABRICATION OF  
COMPLIANT COMPOSITE SUBSTRATES  
AND INTEGRATION OF MATERIALS

Assistant Commissioner for Patents  
BOX OFFICIAL DRAFTSMAN  
Washington, D.C. 20231

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January 5, 2001

Date of Signature and of Mail Deposit

By:

Robert King

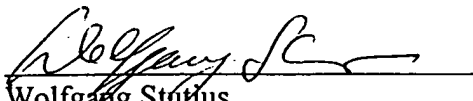
TRANSMITTAL OF FORMAL DRAWINGS

Sir:

In response to the Notice of Allowability dated October 12, 2000, transmitted herewith are six (6) sheets of formal drawings (Figures 1-9). Applicant respectfully submits that the formal drawings correct the deficiencies noted by the Examiner in the Notice of Allowability and are in compliance with the changes requested on PTO Form 948 and with 37 C.F.R. 1.85. Applicants request that the drawings be accepted in the above-referenced application.

Respectfully submitted,  
Foley, Hoag & Eliot LLP

Date: January 5, 2001

  
Wolfgang Stutius  
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